

Pennsylvania Office of Administration
Office of Enterprise Records Management
Records Retention and Disposition Schedule
Approved by the Executive Board

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Records Retention and Disposition Schedule
By Bureau

03/30/2015

Agency: 019 Department of State
Bureau: 1911001000 Secretary's Office

Item Number	Description	Media Code	Vital Record	Agency Retn	SRC Retn	Disp Code
00000061	Secretary's Correspondence	1	No	1Y	6Y	4

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Agency: 019 Department of State
Bureau: 1928001000 PA State Athletic Commission

Item Number	Description	Media Code	Vital Record	Agency Retn	SRC Retn	Disp Code
00000106	Licensee Files Records apply to boxers, mixed martial artists, kick boxers, officials, promoters, corner men, managers, ring announcers, matchmakers, ring physicians, etc. and are all used by the commission to authorize, document and regulate the issuance of licenses to these individuals. The files may contain, but are not limited to application, physicals and related documentation; Copies of contracts between contestants and managers and related correspondence.	1	Yes	5Y	5Y	1
00000107	Promoter Files Records document each promoter of an athletic event under the jurisdiction of the Athletic Commission. This is used to verify his acceptability as a promoter. The file may contain, but is not limited to application and related documentation; surety bonds; police background checks and related correspondence.	1	Yes	5Y	5Y	1
00000111	Event Files Records are created for each athletic event in the state that falls under the jurisdiction of the Athletic Commission. The records may include, but is not limited to club reports, master score sheets, physician's report and related documentation, official's and boxer's pay sheets, contracts (including media), insurance records, press releases and passes and related correspondence.	1	Yes	5Y	5Y	1
00000112	Custody & Consent Forms Records consist of "Custody & Consent" forms that individuals must sign for drug tests.	1	Yes	5Y	0Y	2
00000113	Drug Test Results Records consist of test results from individual who have tested positive.	1	Yes	5Y	0Y	3
00000305	State Athletic Commission Files Commission licenses boxers, kickboxers, boxing and wrestling promoters, managers, doctors, trainers, announcers, timekeepers, referees and athletic agents. The database includes fight history for professional boxers and kickboxers, license numbers and contact information for all these people, promoters and athletic agents in good standing and bond expiration dates. This information is used by the agency to help keep records and licenses up to date, help other state athletic agencies with information about licenses, and to help with ease of getting information for requests from the public.	B	No	20Y	0Y	2

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Agency: 019 Department of State
Bureau: 1935001000 Bureau of Corporations and Charitable Organizations

Item Number	Description	Media Code	Vital Record	Agency Retn	SRC Retn	Disp Code
00000046	Uniform Commercial Code - Hardcopy	1	No	0Y	0Y	1
	* AGY - Microfilm then destroy documents.					
00000046A	Uniform Commercial Code	A	No	0Y	0Y	4
00000046B	Uniform Commercial Code - Dupl Film	A	No	999Y	0Y	1
00000050	Service Of Process Files	1	No	1Y	2Y	1
00000055	Fictitious Name Files - Hardcopy	1	No	1Y	0Y	1
	* AGY - Film and return documents to sender.					
00000055A	Fictitious Name Files	A	No	0Y	0Y	4
00000055B	Fictitious Name Files - Dupl Film	A	No	999Y	0Y	1
00000056	Fictitious Name Files Applications,Cancels	A	No	999Y	0Y	1
00000056A	Fictitious Name Files Applications,Cancels	A	No	0Y	0Y	4
00000060	Corporation Card Index File - Hardcopy	1	No	0Y	0Y	1
	* AGY - Destroy after filming.					
00000060A	Corporation Card Index File	A	No	0Y	0Y	4
00000060B	Corporation Card Index File - Dupl Film	A	No	999Y	0Y	1
00000062	Articles Of Incorporation - Hardcopy	1	No	1Y	0Y	1
	* AGY - Film and return documents to sender.					
00000062A	Articles Of Incorporation	A	No	0Y	0Y	4
00000062B	Articles Of Incorporation - Dupl Film	A	No	999Y	0Y	1
00000081	Registration & Regulation of Charitable Organizations, Prof Fundraisers and Purely Public Charities	1	Yes	1Y	6Y	1
	Official registration statements and financial information including copies of IRS 9904 forms and reviewed or audited financial statements. Also, requests for filing extensions that were approved or denied and requests for acknowledgment of exemptions of exclusions that are approved or denied.					
00000081E	ERegistration & Regulation of Charitable Org., Professional Fundraisers and Purely Public Charities	B	No	7Y	0Y	6
	Official registration statements and financial information including copies of IRS 9904 forms and reviewed or audited financial statements. Also, requests for filing extensions that were approved or denied and requests for acknowledgment of exemptions of exclusions that are approved or denied. As of 2013 all paper records will be scanned and destroyed according to G001.007.					

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Agency: 019 Department of State
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Item Number	Description	Media Code	Vital Record	Agency Retn	SRC Retn	Disp Code
00000083	Investigative Reports	1	No	3Y	7Y	1
	These investigative reports contain investigations and audits of various charities, fundraising counsels and solicitors. These investigations and audits contain interviews, correspondence, original documentation, audit work papers and investigative memos that may be needed in future cases. * AGY - After case file is closed.					
00000131	Corporation Revenue Transmittals	1	No	6M	5Y 6M	1
00000132	Corporation Refunds/Misc Corres	1	No	6M	5Y 6M	1
00000302	Corporation/Uniform Commercial Code Repositories For Corporations	B	No	999Y	0Y	6
	Repository for corporations doing business in PA and uniform commercial code. Contains filings of proceedings and ancillary transactions of profit and non-profit coporations, municipal authorities, limited partnerships, foreign corporations and individuals and corporations doing business under an assumed or fictitious name. Also contains filings for uniform commercial code (ucc) financing statements for secured transactions. See hardcopy for complete description. For all filings, a record is created in an instrument history file to record the date and the nature of the filing and the roll and frame numbers for the microfilmed document.					
00000303	Charities Organization Registration And Financial Monitoring	B	No	4Y	0Y	2
	Contains registration information for all charitable organizations, professional solicitors and professional fundraising counsels that are currently registered with the bureau, as well as the registration information for organizations, solicitors and counsels that were registered in the past. This information is made available to the public via the bureaus website.					

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Agency: 019 Department of State
Bureau: 1936001000 Bureau of Commissions, Elections & Legislation

Item Number	Description	Media Code	Vital Record	Agency Retn	SRC Retn	Disp Code
00000021	Notary Public Commission Files	1	No	2Y	6Y	1
00000022	Commissioner Of Deeds Files	1	No	2Y	3Y	1
00000023	County Officer Bond Files	1	No	2Y	9Y	1
00000024	County Officer Election Return Files	1	No	2Y	0Y	4
00000025	Executive (Governor's) Minutes	1	No	3Y	0Y	4
	* AGY - Send typed min. To archives, destroy source.					
00000025A	Minutes From 1960 To 1981	A	No	0Y	0Y	4
00000026	Oath Files, Gov Appts, Jp, Alderman, Etc	1	No	2Y	6Y	1
00000027	Justice Of Peace Election Return Files	1	No	2Y	0Y	4
00000028	Industrial Police Files	1	No	2Y	0Y	4
	* AGY - After termination of commission.					
00000029	Termination Files	1	No	2Y	6Y	1
00000030	Electoral College Files	1	No	4Y	0Y	4
00000031	Postage Due Bills (PS-3582A)	1	No	6M	6M	1
	* AGY - Or until completion of audit.					
00000034	General Election Statistical Files	1	No	2Y	0Y	4
00000035	Nominating Petition & Paper Files	1	No	6M	1Y 6M	1
00000036	Board & Commission Appt Files	1	No	2Y	6Y	4
00000037	Great Seal Certificates File	1	No	1Y	0Y	1
	* AGY - Until state audit.					

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Agency: 019 Department of State
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Item Number	Description	Media Code	Vital Record	Agency Retn	SRC Retn	Disp Code
00000038	State Campaign Expense Account Files	1	No	2Y	4Y	2
	Notarized campaign expense reports (Form DSEB 502) filed by state political action committees, lobbyists, and individual candidates running for such offices as state house or senate, judge, justice, governor, or auditor general. Includes expense statements, expense vouchers, correspondence, affidavits, political committee authorization registrations and related items documenting money received and spent during state election campaigns. Also present are reports documenting contributions by non-bid contract holders and audit reports. Information given on the DSEB 502 forms is status of filer (candidate, committee, individual, or lobbyist), name and address of candidate, office sought, election district, zip code, telephone number, and type of report. The types of reports included are those required to be filed the sixth Tuesday before election date, second Friday before election date, thirty days after election date, annual report, amended report, and termination report. The reports also provide a summary of receipts and expenditures, affidavits signed by the candidate or committee treasurer, summaries of contributions and receipts, and itemized lists of contributions and receipts. Information given on the reports of contributions made by non-bid contract holders include the name and title of the individual authorized to sign on behalf of the business, the name of the business, certification of compliance with Section 1641 of the Pennsylvania Election Code, date money was contributed, name of contributor, title or relationship of contributor, name of person to whom contributed, and amount contributed. The audit reports are filed alphabetically by candidate and give a narrative description of the candidate's compliance, and any discrepancies, with the reporting and accounting requirements of the election code. Also present may be a letter of recommendation with specific instructions for improvement of record keeping and compliance procedures in future election campaign *SRC - State Archives will retain every 10th year.					
00000040	Common Pleas Judge Files	1	No	5Y	6Y	1
00000041	State & Congressional Certif Return Files	1	No	2Y	0Y	4
00000042	Admin Corresp,JP,Notary Public,Seal Of Comm	1	No	2Y	4Y	1
00000043	GOVERNORS PROCLAMATION FILES AND LEGISLATIVE ACTS	1	No	4Y	0Y	4
00000044	Extradition Files	1	No	2Y	0Y	1
00000065	Federal Campaign Expense Reports	1	No	1Y	4Y	1
00000066	Fed Campaign Exp Rpts, Us Senate & President	1	No	2Y	0Y	1
00000133	Election Returns By Precinct (For Primary,Mun, & Gen Elct)	1	No	5Y	0Y	4

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Agency: 019 Department of State
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Item Number	Description	Media Code	Vital Record	Agency Retn	SRC Retn	Disp Code
00000133E	Election Returns By Precinct (For Primary,Mun, & Gen Elct)	B	No	5Y	0Y	4
00000134	Voter Registrations By Precinct For Primary,Mun, & Gen Elct)	1	No	5Y	0Y	4
00000134E	Voter Registrations By Precinct For Primary,Mun, & Gen Elct)	B	No	5Y	0Y	4
00000135	Navigation Commission Apprentice Applications	1	No	6M	3Y	5
00000136	Retired,Resigned Or Deceased Licensee History Files	1	No	6M	3Y	5
00000300	Electronic Campaign Expence Report	B	No	7Y	0Y	2
	Campaign expence reports, contributions and expenditures. This application includes campaign finance reports and statements filed by candidates, political committees and lobbyists, disclosing receipts and expenditures made to influence the outcome of Pennsylvania elections.					
00000304	Registration And Monitoring of Public Notaries	B	No	8Y	0Y	6
	This application includes the following information: notary public applications and bonds, commissioner of deeds appointments, governor appointments, county row officer appointments and OA ths of offices.					
00000307	Apostille Issuance	B	No	10Y	0Y	6
	The Hague Conference on Private International Law which administers the Hague Convention on the Legalization of Foreign Public Documents establishes the apostille process. Apostille is a French word which means a certification. It is commonly used in English to refer to the legalization of a document for international use under the terms of the 1961 Hague Convention Abolishing the Requirement of Legalization for Foreign Public Documents. When the Department of State certifies a document with an apostille, the Department verifies that the person who signed the document is a Pennsylvania official and the Secretary of the Commonwealth has given "full faith and credit" to the official's seal and signature. Official documents which have been certified with the specified apostille form are accepted for legal use in all the nations that have signed the Hague Convention. The database fields include applicant name and address, serial number, received, the type of certification, check number, mail date and status.					

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Agency: 019 Department of State
Bureau: 1939010000 BPOA Commissioner's Office

Item Number	Description	Media Code	Vital Record	Agency Retn	SRC Retn	Disp Code
00000001	Commissioner's Correspondence Files	1	No	1Y	6Y	4
00000002	Administrative File	1	No	1Y	2Y	1
00000003	Minutes Of Board Meetings - Commissioner	1	No	1Y	7Y	4
00000003B	Minutes Of Board Meetings - Legal & Other	1	No	0Y	0Y	1
	* AGY - Retain as long as needed.					
00000006A	Inspection Files, Central Off Law Enf	1	No	1Y	5Y	1
00000006B	Inspection Files, Regional Off Law Enf	1	No	0Y	0Y	1
	* AGY - As long as needed.					
00000007	Examination Administrative Files	1	No	1Y	4Y	1
00000008	Examination Applications - Failures	1	No	2Y	5Y	1
00000009	Student, Intern & Apprentice Permit Files	1	No	0Y	5Y	1
	* AGY - Until licensure.					
00000013	Rejected Applications	1	No	3Y	0Y	1
00000015	Report Of Student & Apprentice Attendance	1	No	0Y	5Y	1
	* AGY - Until licensure.					
00000016	Educational Facilities	1	No	1Y	5Y	4
00000018	Renewal Documents	1	No	0Y	0Y	1
	* AGY - Until computer verified.					
00000019A	Licensee History Files (Original film)	A	No	45Y	0Y	3
	Microfilm of files on each licensee (individuals, corporations, associations, partnerships, schools, shops, offices and branch offices). Contains applications, educational records, photos, exam applications and results, documents supporting revocation, suspension or investigation relating to licensee, continuing education records, escrowed licenses, change of employer requests, pertinent correspondence, change of location requests and requests for reactivation of license. Records no longer microfilmed as of March 2010.					

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Item Number	Description	Media Code	Vital Record	Agency Retn	SRC Retn	Disp Code
00000019B	Licensee History Files (Duplicate film)	A	No	0Y	45Y	1
	Microfilm of files on each licensee (individuals, corporations, associations, partnerships, schools, shops, offices and branch offices). Contains applications, educational records, photos, exam applications and results, documents supporting revocation, suspension or investigation relating to licensee, continuing education records, escrowed licenses, change of employer requests, pertinent correspondence, change of location requests and requests for reactivation of license. Records no longer microfilmed as of March 2010.					
00000019E	Licensee History Files	B	No	10Y	0Y	6
	Scans of files on each licensee (individuals, corporations, associations, partnerships, schools, shops, offices and branch offices). Contains applications, educational records, photos, exam applications and results, documents supporting revocation, suspension or investigation relating to licensee, continuing education records, escrowed licenses, change of employer requests, pertinent correspondence, change of location requests and requests for reactivation of license. Records no longer microfilmed as of March 2010. Data will be migrated when database is upgraded or changed.					
00000020	Individual Licensing History Card Files	1	No	0Y	0Y	1
	* AGY - Destroy individual card when not needed.					
00000067	Investigation Files,Pros Cards,Hearing Rpts	1	No	3Y	4Y	1
00000069	Registered Nurse Licensure Application,Pirn8	A	No	0Y	0Y	1
	* AGY - Indefinite, not all documents microfilmed.					
00000070	Practical Nurse Licensure Appl Parn6,10,15	1	No	999Y	0Y	1
00000071	Motor Veh Slsmn Appl Spoa2602,2606,2625	1	No	0Y	0Y	1
	* AGY - Indefinite.					
00000072	Auctioneer Appl & Renewal Spoa602,B4,AI1	1	No	0Y	0Y	1
	* AGY - Indefinite.					
00000073	Apprentice Auct Appl & Renewal Dsab 4, Dsal 2	1	No	4Y	5Y	1
00000074	Registration Of Nursing Home Admin	1	No	0Y	0Y	1
	* AGY - Indefinite.					
00000075	Ineligible Psychologist Examiner Spoa2303	1	No	4Y	65Y	1

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Item Number	Description	Media Code	Vital Record	Agency Retn	SRC Retn	Disp Code
00000076	Licensed Psychologists Application	1	No	4Y	65Y	1
	* AGY - As long as application remains active.					
00000077	Practical & Registered School Nurse File	1	No	5Y	0Y	1
00000086	Legal Opinions Of Rulings	1	No	75Y	0Y	1
00000087	Complaints (Not Resulting In Formal Invest)	1	No	1Y	65Y	4
00000088	Out Of State Land Sales	1	No	3M	8Y 7M	5
00000089	Reciprocity Agreements	1	No	3Y	20Y	1
	* SRC - Or as long as reciprocity is in effect, whichever longer.					
00000090	Certificate Books	1	No	0Y	0Y	4
00000091	Mail Room Records	1	No	1Y	3Y	1
00000092	Inventory Of Stockroom Records	1	No	2Y	0Y	1
00000093	Data Release Agreements	1	No	1Y	2Y	1
00000094	Microfilm Licensee Cross Index	A	No	0Y	0Y	1
	* AGY - Retain until superseded (about 60 days).					
00000095	Computer Generated Reports	1	No	1Y	2Y	1
00000096	Automated Licensee File	1	No	0Y	0Y	1
	* AGY - Real-time database updated daily.					
00000097	Automated File Change Requests	1	No	0Y	0Y	1
	* AGY - Held until computer verified.					
00000098	Taped Records	1	No	3Y	0Y	1
00000099	Testing Service Agreements	1	No	1Y	2Y	1
00000126	Amphetamine Reporting Forms-Medical & Osteo	1	No	3M	10Y	1
00000127	Closed - Professional Health Monitoring Program File	1	No	2Y	5Y	1
	Record center boxes from PHMP contain closed participant files. PHMP participant files contain documents and letters received by PHMP and generated by PHMP, including letters and/or memos to and/or from participants, treatment providers, and the Department of State Legal Division; and board consent agreements or orders (which are legal documents).					
00000130	Tape Licensure Examinations	C	No	1Y	50Y	1

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Item Number	Description	Media Code	Vital Record	Agency Retn	SRC Retn	Disp Code
00000137	Prothonotary Files	1	Yes	0Y	45Y	1
	The Prothonotary files are the official public record of any formal administrative action taken by the Bureau of Professional & Occupational Affairs. * AGY - until the case is closed.					
00000138	Prosecution Files	1	No	0Y	20Y	1
	Prosecution files contain the investigative file from Bur. of Enforcement & Investigation and all of the records, evidence and attorney work product generated in the course of prosecuting violations of the various licensing statutes and regulations. * AGY - keep until case closed.					
00000139	Counsel Files	1	No	0Y	20Y	1
	Counsel Files are those records that are generated by counsel to the various licensing boards. They could include litigation files, or legal issue files. * AGY - After issue is resolved or case closes.					
00000301	Professional & Occupational Affairs Licensure System	B	No	999Y	0Y	2
	Licensure of professional & occupational people and businesses. The system supports the following functions / activities for 27 professional licensing boards: accepts and tracks new applicant information, records new license data and also handles the license renewal process. It maintains name and address change, print and accounting history for each license record. It maintains a complaint tracking system for consumer complaints and records inspection and investigation activities. The system maintains microfilm cross-reference information by license. It records results and continuing professional education data for each licensee.					